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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**March 24, 2000**

Transmitted herewith for filing are the specification and claims patent application of:

Philip O. Livingston and Govindaswami Ragupathi for  
Inventor(s)  
FUCOSYL GM1-KLH CONJUGATE VACCINE AGAINST SMALL CELL LUNG CANCER

Title of Invention

Also enclosed are:

X 3 sheet(s) of     informal X formal drawings.

X Oath or declaration of Applicant(s).

X A power of attorney

11. Assignment An assignment of the invention to

# X A Preliminary Amendment

X A verified statement to establish small entity status under 37 C.F.R.  
§1.9 and §1.27.

The filing fee is calculated as follows:

CLAIMS AS FILED, LESS ANY CLAIMS CANCELLED BY AMENDMENT

	NUMBER FILED		NUMBER EXTRA*		RATE		FEE		
					SMALL ENTITY	OTHER ENTITY		SMALL ENTITY	OTHER ENTITY
Total Claims	16 -20	=	0	X	\$9.00	\$18.00	=	\$ 0	\$
Independent Claims	1 -3	=	0	X	\$39.00	\$78.00	=	\$ 0	\$
Multiple Dependent Claims Presented: <u>      </u> Yes <u>  X  </u> No					\$130.00	\$260.00	=	\$ 0	\$
- *If the different in Col. 1 is less than zero, enter "0" in Col. 2					BASIC FEE			\$345.00	\$690.00
					TOTAL FEE			\$ 345.00	\$

Applicants: Philip O. Livingston and Govindaswami Ragupathi  
U.S. Serial No. Not Yet Known (continuation of PCT/US98/20073, filed  
Filed: Herewith 25 September 1998)  
Letter of Transmittal  
Page 2

☒ A check in the amount of \$ 345.00 to cover the filing fee.

☐ Please charge Deposit Account No. \_\_\_\_\_ in the amount of  
\$ \_\_\_\_\_.

☒ The Commissioner is hereby authorized to charge any additional fees  
which may be required in connection with the following or credit any  
over-payment to Account No. 03-3125:

☒ Filing fees under 37 C.F.R. §1.16.

☒ Patent application processing fees under 37 C.F.R. §1.17.

☐ The issue fee set in 37 C.F.R. §1.18 at or before mailing of the  
Notice of Allowance, pursuant to 37 C.F.R. §1.311(b).

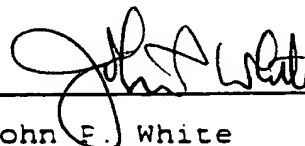
☒ Three copies of this sheet are enclosed.

☐ A certified copy of previously filed foreign application No. \_\_\_\_\_  
\_\_\_\_\_ filed in \_\_\_\_\_ on \_\_\_\_\_  
Applicant(s) hereby claim priority based upon this aforementioned  
foreign application under 35 U.S.C. §119.

☒ Other (identify)

Express Mail Certificate of Mailing bearing label  
No. EL531586607US dated March 24, 2000; one loose  
set of figures 1-2E (3 sheets)

Respectfully submitted,



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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants : Philip O. Livingston and Govindaswami Ragupathi  
U.S. Serial No. : Not Yet Known (Continuation Application of PCT/US98/20073, International filing date 25 September 1998)  
Filed : Herewith  
For : FUCOSYL GM1-KLH CONJUGATE VACCINE AGAINST SMALL CELL LUNG CANCER

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March 24, 2000

Assistant Commissioner for Patents  
Washington, D.C. 20231  
Box: Patent Application

**EXPRESS MAIL CERTIFICATE OF MAILING**  
**FOR ABOVE-IDENTIFIED APPLICATION**

"Express Mail" mailing label number: EL531586607US  
Date of Deposit: March 24, 2000  
I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents and Trademarks, Washington, D.C. 20231.

Printed Name: Philip O. Livingston

Respectfully submitted,

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